

BTEC Bulletin

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CLOSING THE GAPS – AN INTEGRATED APPROACH

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Enterprise Architecture: Closing the Information Technology Planning Gap

The [1996 Clinger Cohen Act](#) (CCA) requires it. The [E-Gov Act of 2002](#) enforces it. The “it” is Enterprise Architecture (EA) which is a key component of these federal laws. Until recently, there was a dearth of federal guidance on EA after Congress enacted the CCA. As a result, most Federal agencies have not developed or matured their EA. USAID is no exception. The BTEC **EA Subcommittee** was established to address this “gap”.

EA Subcommittee Chair, [Mark Kneidinger](#), DAA/M, emphasized the importance of an EA as “a strategic policy tool that serves as a blue print of an organization to inform users of business needs and/or information technology (IT) solutions. An EA enhances the assurance that IT systems work together and help support our programs and policies.”

In its first 90 days, the subcommittee vetted an [EA Program Plan](#) that was approved by the BTEC at their May 14th meeting. The plan serves as a “roadmap” for development of a complete and accurate EA that will inform agency decision makers. The EA Program Plan, based on commercial and federal best practices, includes

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Knowledge Management: Closing the Best Practices & Continuous Learning Gaps

Strategic knowledge management (KM) is a key part of the President’s Management Agenda (PMA) goal for [Strategic Management of Human Capital](#). Because of the importance of KM to the PMA and to USAID, an agency known for its development expertise, **Knowledge for Development** became one of four components of the Agency’s own Business Transformation Plan.

Looming Agency retirements, a lack of mentors, and a decade of no hiring, all pose potential threats to the future of the Agency’s core expert competencies in knowledge for development. The BTEC **KM Subcommittee**, through six sub-groups, addressed these challenges by planning an Agency KM program.

KM Subcommittee activities in the first 90 days included: completion of “as is” analysis phase of a KM Strategy; completion of the first stage in the redesign of CDIE On-Line; development of a new [KM Website](#); development of an advisory services framework to assist Agency Communities of Practice (CoP); and establishment of three Communities of Practice pilots. These CoP pilots include: HIV/AIDS; Education; and Management Metrics.

Former KM Subcommittee Chair John Simon said “With the subcommittee’s preliminary plans in place including the establishment of a KM website, the subcommittee is off to a good start to achieving the Agency’s KM vision of a one stop resource for development knowledge.”

Mr. Simon, who recently departed the Agency, noted that with a fully developed KM Program, “the Agency will be able to systematically manage, share and learn from its strategic knowledge assets. This will facilitate USAID’s leadership role in international development assistance.”

Key objectives of the subcommittee’s efforts in developing a KM Program are: to put in place a set of “best practice” tools and techniques to collect and share knowledge generated by the Agency’s

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activities for a joint USAID and Department of State (DoS) Enterprise Architecture by the end of FY 2005. This “roadmap” also includes a schedule of deliverables as well as EA performance metrics.

Under the aegis of the subcommittee, the first stage of an “as is” EA business model was developed that describes the major organizational activities of the Agency. A key part of the subcommittee’s approach to developing the EA is to start small and evolve rapidly into a full architecture. In keeping with this approach, USAID reached agreement with DoS and OMB to build an initial EA on the convergence of HIV/AIDS and financial management. By initially focusing on this critical program and management system intersection, USAID plans to overcome a long-standing problem to report timely and accurate information.

A fully developed enterprise architecture will provide an *informed* platform to encourage: improved Agency services; coherent investments to support USAID’s mission; coherent and integrated policy and IT investment decisions; a transparent and predictable environment; and cross-government coordination and internal efficiency.

An Agency EA interrelates with the activities of the four components or “lanes” of USAID’s Business Transformation Plan: Strategic Management of Human Capital; Business Systems Modernization; Knowledge for Development; and Strategic Budgeting. Proposed program changes and/or IT systems impacting the activities of each component may be strategically reviewed in the context of the EA to avoid redundancies and duplications and to promote sound performance-based budget decisions.

Federal agencies are required to have an enterprise architecture in place before OMB will release requested funds for IT investments. A fully developed EA is a critical part of the PMA goal for [Expanded E-Government](#).

CPIC: Closing the IT Investment Planning Gap

In the interest of improving financial decision-making in the federal government, the [1996 Clinger Cohen Act](#) (CCA) and [OMB Circular A-130](#) require agencies to justify each major IT acquisition based upon how it will support achievement of the goals in their strategic plans.

The Capital Planning and Investment Control (CPIC) Subcommittee is focused on developing policies and procedures for planning, budgeting and managing USAID’s information technology assets in accordance with the CCA and OMB guidance.

“The purpose of this subcommittee is to develop and implement policies for selecting IT investments,” said CPIC Subcommittee Chair, [Mark Kneidinger](#), DAA/M. “The subcommittee also evaluates results of investments to ensure compliance with meeting agency strategic goals.”

At their May meeting, the BTEC approved the subcommittee’s revised CPIC chapter for the automated directives system. The subcommittee is currently developing the decision rules that will be applied in making investment

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activities; and to encourage a culture that actively promotes continuous learning through knowledge sharing.

“There is also another aspect to KM,” said PPC’s Lee White, subcommittee co-chair. “USAID must also create systems that deliver knowledge in a useful form to decision-makers at the time decisions are made. The activities of the KM subcommittee will inform the Agency’s EA to address such systems.”

Human Capital: Closing the Skills Gap

[Strategic Management of Human Capital](#) is one of five goals in the PMA. This initiative is also a key component of the Agency’s Business Transformation Plan. An important part of this initiative is the identification of mission-critical occupations and the development of plans to close skill gaps. At USAID, this activity is being managed by the **Human Capital (HC) Subcommittee**, chaired by HR Director [Rose Marie Depp](#) who was recently designated the Agency’s [Chief Human Capital Officer](#). The subcommittee is developing plans to conduct an Agency workforce skills gap analysis and subsequently will develop specific strategies to fill the gaps.

The HC Subcommittee’s first 90 days were focused on planning a multi-year HC Strategic Plan, linked to the Agency mission, and identifying policy changes needed to effectively manage the Agency’s human resources. Recent subcommittee activities include:

- Reached consensus on five human capital goals and obtained the endorsement of the BTEC.
- Submitted a draft strategic plan to OMB for comments.
- Developed and solicited Agency comments on a discussion document on Core Competencies for the USAID’s workforce.
- Developed 15 month action plans, endorsed by the full BTEC, to address the President’s Management Agenda (PMA) goals for *Human Capital*.
- Formed five working groups to analyze issues and make recommendations for changes in policies and procedures.

HC Subcommittee working groups meet regularly to discuss issues regarding: (1) USAID’s Development Readiness Initiative for a surge and float capacity to undertake new programs and provide training positions; (2) workforce planning to identify the mission critical occupations and skills needed; (3) a competitive sourcing strategy that is consistent with the vision for the future workforce; (4) counseling and mentoring programs; and (5) the cost of doing business in Washington and the field.

Subcommittee recommendations will be presented to the full BTEC. Approved recommendations will be incorporated into the Agency Human Capital Strategic Plan.

The activities of the HC Subcommittee are interrelated to the subcommittee activities for EA, CPIC, KM, BSM and Strategic Budgeting.

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decisions. These decision rules will be presented to the full BTEC for approval.

Requests for IT investments that are reviewed by the CPIC Subcommittee should support the Agency's Enterprise Architecture (EA) and the strategic direction provided by the Business Systems Modernization (BSM) Subcommittee.

This interrelationship begins by the EA informing the BTEC of gaps in IT and policy. This enables the BTEC to direct and guide the BSM Subcommittee to close these gaps. The BSM Subcommittee develops recommendations on IT initiatives that lead to the requests for the investments reviewed by the CPIC Subcommittee.

Sound financial planning and investment techniques are facilitated by the Agency's integrated approach to acquiring and managing IT systems to support USAID programs and policies.

Minutes of the April BTEC meeting can be found on the BTEC website at <http://inside.usaid.gov/BTEC/>.

Strategic Budgeting: Closing the Budget and Performance Integration Gap

Both the [Government Performance and Results Act \(GPRA\)](#) and the [Chief Financial Officers \(CFO\) Act](#), legislation enacted during the 1990's, were designed to promote results and improve management within the federal government. Efforts to improve the management as well as performance of the federal government gained momentum in August 2001 with the unveiling of the five government-wide reform goals in the [President's Management Agenda \(PMA\)](#).

The PMA goal for Budget and Performance Integration mandates that federal agencies integrate performance planning with budgeting. However, agencies are expected to develop their own details for these plans. **Strategic Budgeting**, one of four components of USAID's Business Transformation Plan directly corresponds to this key, overarching PMA initiative.

The BTEC **Strategic Budgeting Subcommittee** was established to provide advice and guidance on the Agency's activities related to the integration of budget and performance. "Strategic Budgeting is where policy, planning, budget, and performance measurement all come together," said Subcommittee Chair, [Jon Breslar](#), DAA/PPC. "Our intent is to rationalize, in an open and transparent way, the way the Agency allocates all our resources, and how they relate to all components of our Business Transformation Plan."

Since November, the subcommittee has provided input for the joint State/USAID Strategic Plan, the [Overseas Workforce Study](#), the Agency's Strategic Budgeting model and a 15 month plan to address the PMA initiative on Budget and Performance Integration.

Your comments and suggestions are welcomed. Please contact your bureau's [BTEC member](#) or nbarnett@usaid.gov. You may also contact us online at <http://inside.usaid.gov/BTEC/>

BSM: Closing the Accountability Gap

Modernization of the Agency's business systems is a key component of the USAID Business Transformation Plan. Administrator Natsios has made "fixing" the Agency's management systems a high priority in order to ensure accountability and compliance with all applicable laws and regulations and to provide agency decision-makers and external partners with accurate, real-time, financial management and program data.

The activities of the **Business Systems Modernization (BSM) Subcommittee** correspond to the Agency's BSM transformation plan reforms in financial management, acquisition and assistance, and information technology. According to Subcommittee Chair [Mark Kneidinger](#), DAA/M and Deputy CIO, the subcommittee's plans are focused on: deployment of the Phoenix core accounting system now operating in Washington, to the field; deployment of a global acquisition and assistance (A&A) system; and collaboration on the PMA E-Government initiatives. The Agency is currently a partner on four of the [24 E-Government initiatives](#) and a participant in six others.

The subcommittee's initial plans were delayed while awaiting the outcome of the State/USAID financial system collaboration study and, more recently, by the delayed release of capital investment funds from OMB. The subcommittee's activities near term will involve the following:

- Developing guidance and recommendations for deploying Phoenix overseas
- Adhering to BTEC endorsed 15-month plans to address PMA Financial Management and E-government initiatives.
- Partnering on government-wide E-government initiatives.

Activities of the BSM Subcommittee are interrelated to those of the EA and CPIC Subcommittees. BSM addresses the objectives of the [PMA](#) goals for *Improved Financial Management and E-Government*. BSM also addresses the PMA *Competitive Sourcing* objectives as an option for business systems investments.

Did you know...

.....that USAID was one of four Federal agencies to move from yellow to green in progress on E-Government in the latest PMA scorecard? Activities of the EA & CPIC subcommittees were credited for the improved score. The agency's overall scorecard is available at the BTEC website at <http://inside.usaid.gov/BTEC/>.



**The next BTEC meeting is scheduled
for
June 16th.**